

Applicant or Patentee: Etienne Barnard, et al.

Attorney's Docket No.: 47898-056

Serial or Patent No.: 09/433,609

Filed or Issued: Filed November 2, 1999

For: METHOD AND APPARATUS FOR DISCRIMINATIVE TRAINING OF ACOUSTIC MODELS OF A SPEECH RECOGNITION SYSTEM**VERIFIED STATEMENT (DECLARATION) CLAIMING SMALL ENTITY STATUS**  
(37 CFR 1.9(f) and 1.27(c) - SMALL BUSINESS CONCERN)

I hereby declare that I am

- ☐ the owner of the small business concern identified below;  
☒ an official of the small business concern empowered to act on behalf of the concern identified below:

NAME OF ORGANIZATION: SPEECHWORKS INTERNATIONAL, INC.ADDRESS OF ORGANIZATION: 695 Atlantic Avenue, Third Floor, Boston, MA 02201

I hereby declare that the above identified small business concern qualified as a small business concern as defined in 13 CFR 121.3-18, and reproduced in 37 CFR 1.9(d), for purposes of paying reduced fees under section 41(a) and (b) of Title 35, United States Code, in that the number of employees of the concern, including those of its affiliates, does not exceed 500 persons. For purposes of this statement, (1) the number of employees of the business concern is the average over the previous fiscal year of the concern of the persons employed on a full-time, part-time or temporary basis during each of the pay periods of the fiscal year, and (2) concerns are affiliates of each other when either, directly or indirectly, one concern controls or has the power to control the other, or a third party or parties controls or has the power to control both.

I hereby declare that rights under contract or law have been conveyed to and remain with the small business concern identified above with regard to the invention, entitled METHOD AND APPARATUS FOR DISCRIMINATIVE TRAINING OF ACOUSTIC MODELS OF A SPEECH RECOGNITION SYSTEM by inventor(s) ETIENNE BARNARD and JEAN-GUY DAHAN described in

- ☐ the specification filed herewith;  
☒ application Serial No. 09/433,609, filed November 2, 1999;  
☐ patent no. \_\_\_\_\_, issued \_\_\_\_\_.

If the rights held by the above identified small business concern are not exclusive, each individual, concern or organization having rights to the invention is listed below\* and no rights to the invention are held by any person, other than the inventor, who could not qualify as an independent inventor under 37 CFR 1.9(c) if that person made the invention, or by any concern which would not qualify as a small business concern under 37 CFR 1.9(d) or a nonprofit organization under 37 CFR 1.9(e). \*NOTE: Separate verified statements are required from each named person, concern or organization having rights to the invention averring to their status as small entities. (37 CFR 1.27)

NAME \_\_\_\_\_

ADDRESS \_\_\_\_\_

☐ INDIVIDUAL☐ SMALL BUSINESS CONCERN☐ NONPROFIT ORGANIZATION

NAME \_\_\_\_\_

ADDRESS \_\_\_\_\_

☐ INDIVIDUAL☐ SMALL BUSINESS CONCERN☐ NONPROFIT ORGANIZATION

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 CFR 1.28(b))

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.

NAME OF PERSON SIGNING: Ruei LinTITLE IN ORGANIZATION: General CounselADDRESS OF PERSON SIGNING: 695 Atlantic Avenue, Third Floor, Boston, MA 02201SIGNATURE: [Signature]DATE: 3/14/00



**COMBINED DECLARATION AND POWER OF ATTORNEY  
FOR PATENT APPLICATION**

As a ~~below~~ named inventor, I hereby declare that:

My residence, post office address and citizenship are as stated below next to my name.

I believe I am an original and joint inventor of the subject matter which is claimed and for which a utility patent is sought on the invention entitled:

**METHOD AND APPARATUS FOR DISCRIMINATIVE  
TRAINING OF ACOUSTIC MODELS OF A SPEECH RECOGNITION SYSTEM**

the specification of which:

☒ was filed on November 2, 1999, as United States non-Provisional Application No. 09/433,609, bearing attorney docket no. 17915-025

☐ is attached hereto.

I hereby state that I have reviewed and understand the contents of the above-identified specification, including the claims, as amended by any amendment referred to above.

I acknowledge the duty to disclose information which is material to the examination of this application in accordance with Title 37, Code of Federal Regulations, §1.56.

☐ I hereby claim foreign priority benefits under Title 35, United States Code, §119(a)-(d) or §365(b) of any foreign application(s) for patent or inventor's certificate, or §365(a) of any PCT International application designating at least one country other than the United States listed below and have also identified below any foreign application for patent or inventor's certificate or PCT International application having a filing date before that of the application on which priority is claimed.

Priority  
Claimed

_____	_____	_____	<input type="checkbox"/>	<input type="checkbox"/>
(Number)	(Country - if PCT, so indicate)	(dd/mm/yy Filed)	Yes	No
_____	_____	_____	<input type="checkbox"/>	<input type="checkbox"/>
(Number)	(Country - if PCT, so indicate)	(dd/mm/yy Filed)	Yes	No

☐ I hereby claim the benefit under Title 35, United States Code, § 119(e) or §120 of any United States application(s), or §365(c) of any PCT International application(s) designating the United States of America listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States or PCT International application in the manner provided by the first paragraph

of Title 35, United States Code, §112, I acknowledge the duty to disclose material information as defined in Title 37, Code of Federal Regulations, §1.56 which became available between the filing date of the prior application and the national or PCT International filing date of this application:

_____ (Application No.)	_____ (Filing Date)	_____ (Status: Patented, Pending, Abandoned)
_____ (Application No.)	_____ (Filing Date)	_____ (Status: Patented, Pending, Abandoned)

PCT International Applications designative the United States:

_____ (PCT App No.)	_____ (US Serial No.)	_____ (PCT Filing Date)	_____ (Status)
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I hereby appoint the following attorneys and/or agents to prosecute this application and to transact all business in the Patent and Trademark Office connected therewith:

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Boston, Massachusetts 02111

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or patent issued thereon.

EC Barnard  
Inventor's Signature

4/4/2000  
Date

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4/13/2000  
Date

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TRADMARKS:1307814.1(S146011.DOC)